



Commonwealth of Kentucky

SOLICITATION

TITLE: Assessment of IT in the Commonwealth

DATE ISSUED

2011-07-21

SOLICITATION CLOSSES

Date: 2011-07-27

Time: 16:30:00

SOLICITATION NO.

RFP 750 1100000361

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Room 195 Capitol Annex
Sharon Purvis

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**Please see the Terms and Conditions
For Information on where to submit
Your Bid/Proposal.**

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Name:
Address:
City, State Zip Code:
Phone #:
Email Address:
Contact Name:
Contact Email:
Vendor Customer (VC) #:

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Name:
Address:
City, State Zip Code:
Phone #:
Email Address:
Contact Name:
Contact Email:
Vendor Customer (VC) #:

FOR INFORMATION CALL:

Sharon Purvis
502-564-8096

ONLINE BIDDING PROHIBITED

Yes

OWNERSHIP TYPE:

☐ Sole Proprietorship ☐ Partnership ☐ Corporation

**SIGNATURE OF AUTHORIZED AGENT IS REQUIRED UNLESS RESPONSE IS SUBMITTED ELECTRONICALLY
FAILURE TO SIGN SHALL RENDER THE BID INVALID.**

Signature X _____ FEIN# _____ DATE _____

All offers subject to all terms and conditions contained in this solicitation.

Line Items

Line Group: Default

Line	CL Description	Due Date	Quantity	Unit Issue	Unit Cost	Line Total Or Contract Amt
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1 Conduct an assessment of (IT) programs and practices.

Comm Code	Comm Description	Manufacturer	Model #	Man Part #
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95670 Research Services (Other Than Business)

Extended Description

The Commonwealth intends to procure consulting services to provide an assessment of the current information technology (IT) environment across the executive branch. The scope of services includes the comprehensive analysis of the current IT service delivery within the Commonwealth; identification of services being provided in a successful manner; and recommended performance improvements which will increase the value of IT for the enterprise as a whole in terms of adequacy, efficiency and effectiveness. The Vendor shall provide a comprehensive financial template which will provide transparency of IT expenditures.

Question deadline July 13, 2011
Answers posted July 18, 2011 on a seperate attachment.
Updated answers added

B I L T O	494552	S H I P T O	494552
	FINANCE OAS		FINANCE OAS
	702 CAPITAL AVENUE		702 CAPITAL AVENUE
	Rm 195 Capital Annex Bldg		Rm 195 Capital Annex Bldg
	FRANKFORT KY 40601		FRANKFORT KY 40601
	US		US

Evaluation Criteria			
The following criteria will be used when determining the award of this solicitation			
Code	Criteria Description	Points	Vendor Response (DO NOT LIST PRICES IN THIS SECTION. UNIT PRICES AND TOTAL PRICES MUST BE FILLED IN ADJACENT TO THEIR LINE ITEMS.)

	Qualifications and Expertise	45	
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	COST	55	
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REQUEST FOR PROPOSAL FOR PERSONAL SERVICES CONTRACT

**Assessment of IT in the Commonwealth
IT Assessment
RFP 750 1100000361**

This document constitutes a Request for Proposals for Personal Service Contract from qualified individuals and organizations to furnish those services as described herein for the Commonwealth of Kentucky, Finance Cabinet

I. DESCRIPTION OF SERVICES REQUIRED

The Commonwealth intends to procure consulting services to provide an assessment of the current information technology (IT) environment across the executive branch. The scope of services includes the comprehensive analysis of the current IT service delivery within the Commonwealth; identification of services being provided in a successful manner; and recommended performance improvements which will increase the value of IT for the enterprise as a whole in terms of adequacy, efficiency and effectiveness. The Vendor shall provide a comprehensive financial template which will provide transparency of IT expenditures.

II. INFORMATION AND DATA REQUIRED OF EACH OFFEROR

Offerors shall submit a signed original proposal to Finance Cabinet that includes the following information.

Please note that an authorized agent *MUST* complete and sign the Solicitation form. Failure to sign shall render the bid invalid.

Electronic or Facsimile proposals shall not be considered.

1. Name, Social Security Number or Federal Identification Number (FIN), address, and telephone number. Provide e-mail address and website address, if available.

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	2. Provide professional references. Include names and addresses of organizations with whom the offeror has previously contracted to provide similar services.		

3. Previous experience. Minimum 10 years overall experience in public/private sector IT service development and delivery
4. Qualifications and expertise.

Demonstrated successful track record in providing consulting services related to public/private sector IT cost and service delivery analysis and benchmarking, as set forth in this solicitation

Demonstrated experience providing processes and models/templates for use in accomplishing the deliverables set forth in this solicitation

Excellent communication skills with both technical and non-technical audiences, including creating and presenting executive summaries to executive level leadership

Specific experience with public/private sector IT cost and service delivery, analysis and benchmarking, to include:

Knowledge and experience benchmarking the total cost of IT services

Knowledge and preparation of IT service offering rates and rate methodologies

Knowledge and preparation of financial statements (income statements and balance sheets)

Knowledge of governmental accounting and general accounting practices and processes (to include direct and indirect methodologies)

5. Deliverables

At a minimum, the following areas will be included as part of the assessment.

IT Governance: Best and acceptable practices in a state government environment which fit and improve IT service delivery in the Commonwealth; best practices for insuring IT initiatives align with the business mission and goals of the Cabinet/Agencies. Minimum items to be specifically addressed include:

Identify and recommend the best IT Governance structure given Kentucky's statutes and current budgetary structure.

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Describe the Kentucky IT organizational model, both as-is and to-be, identify the

processes and procedures that are working well today, and the roadmap and timeline to implement any proposed changes. Roadmap should address near term and long term strategic direction for the Commonwealth of Kentucky.

Explain how the proposed governance structure will provide strategic IT direction for the Commonwealth to address enterprise concerns, including data security, disaster recovery/business continuity, and enterprise architecture issues.

Define the proper balance between governance functions, enterprise-level IT operations, and Cabinet/Agency IT roles.

Outline the best organizational structure in a state government environment to operate IT functions such as infrastructure (servers, storage, desktops), communications (voice, data, wireless, video, network components), application development and maintenance, data and database management, security and protections, contract negotiation and management, and others.

Funding Model: Best and acceptable practices in a state government environment that comply with accounting and auditing standards to fit and improve current IT operations and the budgetary condition of the Commonwealth; recommended categories for classifying IT costs across the executive branch. Minimum items to be specifically addressed include:

Quantify what the executive branch spends per year in total on IT, broken down by staffing, senior management, administrative staff, goods and services, plant and facilities, overhead, and other costs.

Recommend the most appropriate IT funding model options for Kentucky, and describe the pros and cons of each option (i.e. chargeback model, general fund appropriation, mixed funding, etc.)

Describe how federal funding limitations, cost allocation, and regulations can be addressed in each proposed funding model.

Service Catalog and SLA/OLA: Best and acceptable practices in a state government environment to develop and maintain service catalogs of IT services; the relationship of a service catalog to Service Level Agreements/Operational Level Agreements (SLAs/OLAs) to provide meaningful qualitative and quantitative metrics about the performance delivery of a particular service. Minimum items to be specifically addressed include:

Provide an Executive Branch service catalog.

Define each service in terms of an SLA and/or OLA according to best practices

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Describe the best process or practice and related quantitative and qualitative measures to ensure that quality of service does not degrade when considering cost reduction strategies.

Provide IT operational metrics and benchmarks for all services listed in the catalog in terms of staff to devices/units supported ratio.

Provide insight and interpretation of these metrics based on the key findings of the assessment.

Identify the best practices and processes to determine total cost of ownership (TCO) and return on investment (ROI) for any proposed IT investments or projects.

Identify processes or indicators to determine best sourcing options for IT initiatives, including consideration of public or private cloud based solutions, public/private partnerships, and outsourcing models, with pros and cons of each cost model including Total Cost of Ownership (TCO) templates.

IT Staffing: Best and acceptable practices in a state government environment that recruit and retain qualified IT staff. Minimum items to be specifically addressed include:

Identify the current total IT staff spending – IT employees, IT contractors, IT personal service contracts, IT management, IT administrative staff, and others performing IT work.

Provide the best practices related to IT contractor vs. employee usage.

Period of Performance. This contract shall be effective upon filing with the Government Contract Review Committee and the initial term shall run through the end of the current biennium. The Commonwealth reserves the right to renew this contract for up to an additional two year term, upon expiration of the initial term.

Cost. The cost submitted in response to this solicitation shall be Fully Burdened. The Commonwealth will not accept any additional costs such as transportation, administrative services, etc. with regards to this project. The proposed cost shall be all inclusive.

III. RELATIVE IMPORTANCE OF PARTICULAR QUALIFICATIONS

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After determining that a proposal includes all required information and data, the Finance

Cabinet will evaluate the proposal based on the following evaluation factors:

Qualifications and expertise	45 pts.
Cost	55 pts.

The scoring of bids/proposals is subject to Reciprocal preference for Kentucky resident bidders and Preferences for a Qualified Bidder or the Department of Corrections, Division of Prison Industries (KAR 200 5:410).

KRS 45A.490 Definitions for KRS 45A.490 to 45A.494.

As used in KRS 45A.490 to 45A.494:

- (1) "Contract" means any agreement of a public agency, including grants and orders, for the purchase or disposal of supplies, services, construction, or any other item; and
- (2) "Public agency" has the same meaning as in KRS 61.805.

KRS 45A.492 Legislative declarations.

The General Assembly declares:

- (1) A public purpose of the Commonwealth is served by providing preference to Kentucky residents in contracts by public agencies; and
- (2) Providing preference to Kentucky residents equalizes the competition with other states that provide preference to their residents.

KRS 45A.494 Reciprocal preference to be given by public agencies to resident bidders -- List of states -- Administrative regulations.

- (1) Prior to a contract being awarded to the lowest responsible and responsive bidder on a contract by a public agency, a resident bidder of the Commonwealth shall be given a preference against a nonresident bidder registered in any state that gives or requires a preference to bidders from that state. The preference shall be equal to the preference given or required by the state of the nonresident bidder.
- (2) A resident bidder is an individual, partnership, association, corporation, or other business entity that, on the date the contract is first advertised or announced as available for bidding:
 - (a) Is authorized to transact business in the Commonwealth; and
 - (b) Has for one (1) year prior to and through the date of the advertisement, filed Kentucky corporate income taxes, made payments to the Kentucky unemployment insurance fund established in KRS 341.490, and maintained a Kentucky workers' compensation policy in effect.
- (3) A nonresident bidder is an individual, partnership, association, corporation, or other business entity that does not meet the requirements of subsection (2) of this section.
- (4) If a procurement determination results in a tie between a resident bidder and a nonresident bidder, preference shall be given to the resident bidder.
- (5) This section shall apply to all contracts funded or controlled in whole or in part by a public agency.
- (6) The Finance and Administration Cabinet shall maintain a list of states that give to or require a preference for their own resident bidders, including details of the preference given to such bidders, to be used by public agencies in determining resident bidder preferences. The cabinet

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shall also promulgate administrative regulations in accordance with KRS Chapter 13A establishing the procedure by which the preferences required by this section shall be given.			

(7) The preference for resident bidders shall not be given if the preference conflicts with federal law.

(8) Any public agency soliciting or advertising for bids for contracts shall make KRS 45A.490 to 45A.494 part of the solicitation or advertisement for bids.

The reciprocal preference as described in KRS 45A.490-494 above shall be applied in accordance with 200 KAR 5:400.

Determining the residency of a bidder for purposes of applying a reciprocal preference

Any individual, partnership, association, corporation, or other business entity claiming resident bidder status shall submit along with its response the attached Required Affidavit for Bidders, Offerors, and Contractors Claiming Resident Bidder Status. The BIDDING AGENCY reserves the right to request documentation supporting a bidder's claim of resident bidder status. Failure to provide such documentation upon request shall result in disqualification of the bidder or contract termination.

A nonresident bidder shall submit, along with its response, its certificate of authority to transact business in the Commonwealth as filed with the Commonwealth of Kentucky, Secretary of State. The location of the principal office identified therein shall be deemed the state of residency for that bidder. If the bidder is not required by law to obtain said certificate, the state of residency for that bidder shall be deemed to be that which is identified in its mailing address as provided in its bid.

Preferences for a Qualified Bidder or the Department of Corrections, Division of Prison Industries (KAR 200 5:410).

Pursuant to 200 KAR 5:410, and KRS 45A.470, Kentucky Correctional Industries will receive a preference equal to twenty (20) percent of the maximum points awarded to a bidder in a solicitation. In addition, the following "qualified bidders" will receive a preference equal to fifteen

(15) percent of the maximum points awarded to a bidder in a solicitation: Kentucky Industries for the Blind, any nonprofit corporation that furthers the purposes of KRS Chapter 163 and any qualified nonprofit agencies for individuals with severe disabilities as defined in KRS 45A.465(3). Other than Kentucky Industries for the Blind, a bidder claiming "qualified bidder" status shall submit along with its response to the solicitation a notarized affidavit which affirms that it meets the requirements to be considered a qualified bidder- affidavit form included. If requested, failure to provide documentation to a public agency proving qualified bidder status may result in disqualification of the bidder or contract termination.

Finance Cabinet reserves the right to conduct discussions with any offeror who has submitted a proposal to determine the offeror's qualifications for further consideration. Discussions shall not disclose any information derived from proposals submitted by other offerors.

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After determining the best proposal received, the department reserves the right to negotiate a fair and reasonable compensation based on the pricing submitted in the offeror's proposal. If

the negotiations fail to reach an agreement on a fair and reasonable compensation rate, the department reserves the right to proceed to the next highest rated proposal.

IV. GENERAL INFORMATION

Offerors are advised that any personal service contract resulting from this Request for Proposals for Personal Service Contract must comply with all applicable provisions of KRS 45A and KRS 12.210 prior to becoming effective.

The Commonwealth reserves the right to reject any offers and to waive informalities and minor irregularities in offers received.

The Commonwealth reserves the right to request additional information as may reasonably be required for selection, and to reject any proposals for failure to provide additional information on a timely basis.

A contract, based on this RFP, may or may not be awarded. Any contract award from this RFP is invalid until properly approved and executed by the Finance and Administration Cabinet.

Notification of Award - To view the Award of Contract(s) and the Contractor(s) receiving the Award(s) for this Solicitation, access the E-Procurement Directory at <http://eprocurement.ky.gov>. The Award(s) information can be accessed by clicking on the View Awards link under the Procurement area located on the top of the center column of the E-Procurement Directory homepage. It is the vendor's responsibility to review this information in a timely fashion. No other notification of the results of an Award of Contract will be provided.

Questions regarding this RFP - Questions must be submitted in writing to the Finance Cabinet contact named in this RFP. The Commonwealth will respond to salient questions in writing by issuing an Addendum to the Solicitation. The Addendum shall be posted to the Commonwealth's E-Procurement page.

Access to Solicitation, RFP and Addenda - The Solicitation, the RFP and Attachments and any Addenda shall be posted to the E-Procurement Directory at <http://eprocurement.ky.gov>

It is the vendors' responsibility to assure they have obtained copies of all information and forms.

Proprietary Information – The RFP specifies the format, required information, and general content of proposals submitted in response to the RFP. The Finance Cabinet shall not disclose any portions of the proposals prior to contract award to anyone outside the finance Cabinet, the

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Finance and Administration Cabinet, representatives of the Federal Government, if required,

and the members of the evaluation committees. After a contract is awarded in whole or in part, the Finance Cabinet shall have the right to duplicate, use, or disclose all proposal data submitted by Vendors in response to this RFP as a matter of public record. Although the Commonwealth recognizes the Vendor's possible interest in preserving selected data which may be part of a proposal, the Commonwealth must treat such information as provided by the Kentucky Open Records Act, KRS 61.870 et sequitur.

Informational areas which normally might be considered proprietary shall be limited to individual personnel data, customer references, selected financial data, formulae, and financial audits which, if disclosed, would permit an unfair advantage to competitors. If a proposal contains information in these areas that a Vendor declares proprietary in nature and not available for public disclosure, the Vendor shall declare the inclusion of proprietary information and shall noticeably label as proprietary each sheet containing such information. Proprietary information shall be submitted under separate sealed cover marked "Proprietary Data". Proposals containing information declared by the Vendor to be proprietary, either in whole or in part, outside the areas listed above may be deemed non-responsive to the RFP and may be rejected.

Additional Requirements – Vendors should review and comply with the general bidding requirements listed under “Laws, Policies and Procedures” and “Standard Attachments and General Terms” located on the eProcurement Web page at <https://eprocurement.ky.gov>.

Certification Regarding Debarment and Suspension

In accordance with Federal Acquisition Regulation 52.209-5, the Vendor shall certify, by signing the Solicitation, that to the best of its knowledge and belief, the Vendor and/or its Principals is (are) not presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any State or Federal agency.

"Principals", for the purposes of this certification, means officers, directors, owners, partners, and persons having primary management or supervisory responsibilities within a business entity (e.g., general manager, plant manager, head of subsidiary, division, or business segment, and similar positions.

Contract Components and Order of Precedence

The Commonwealth's acceptance of the Contractor's offer in response to the Solicitation, indicated by the issuance of a Contract Award, shall create a valid Contract between the Parties consisting of the following:

- Any written Agreement between the Parties;
- Any Addenda to the Solicitation;
- The Solicitation and all attachments thereto.
- PSC1 Personal Service Contract Clauses;
- Any Best and Final Offer;
- Any clarifications concerning the Contractor's proposal in response to the Solicitation;
- The Contractor's proposal in response to the Solicitation.

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In the event of any conflict between or among the provisions contained in the Contract, the order of precedence shall be as enumerated above.

V. RESPONSES

Electronic or Facsimile Proposals shall not be accepted.

Proposals submitted in response to this Request for Proposals for a Personal Service Contract must be received in hardcopy form **no later than 4:30 p.m. Eastern Daylight Savings Time on Wednesday July 27, 2011.** Proposals which arrive after this date and time shall not be considered for an award of contract, unless: a) no bids are received other than the late bid; and b) the need of an agency is determined to preclude the re-solicitation of bids; and c) the offer is evaluated and found to be in the best interest of the Commonwealth.

One (1) marked Original Proposal and (6) Number of Copies shall be submitted to:

**Sharon Purvis
702 Capital Ave Rm 195
Frankfort, Ky 40601
502 564-8096**

VI. RESTRICTIONS ON COMMUNICATIONS

The Contract Contact named below shall be the sole point of contact throughout the procurement process. All communications, oral and written (regular mail, express mail, electronic mail, or fax), concerning this procurement shall be addressed to:

**Sharon Purvis
702 Capital Ave Rm 195
Frankfort, Ky 40601
502 564-8096
Fax 502 564-9557
Sharon.purvis@ky.gov**

From the issue date of this RFP until a Contractor(s) is selected and the selection is announced, Offerors are not allowed to communicate with any Commonwealth Staff concerning this RFP except:

The Contract Contact cited in this RFP; or

Via written questions submitted to the Contract Contact

For violation of this provision, the Commonwealth shall reserve the right to reject their proposal response.

ITEMS THAT SHALL BE SUBMITTED WITH YOUR BID

SIGNED SOLICITATION INCLUDING YOUR CORRECT ADDRESS, REMIT TO

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2. **SIGNED ADDENDUMS (IF APPLICABLE)**
3. **SIGNED AND NOTARIZED REQUIRED AFFIDAVIT FOR BIDDERS OR OFFERORS (AVAILABLE AT THE FOLLOWING LINK):**
<http://eprocurement.ky.gov/attachments.htm>
4. **SIGNED AND NOTARIZED REQUIRED AFFIDAVIT FOR BIDDERS, OFFERORS AND CONTRACTORS CLAIMING QUALIFIED BIDDER STATUS (IF APPLICABLE.) (AVAILABLE AT THE FOLLOWING LINK)**
<http://finance.ky.gov/business/procurementservices/procurementhowto.htm>
5. **SIGNED AND NOTARIZED REQUIRED AFFIDAVIT FOR BIDDERS, OFFERORS AND CONTRACTORS CLAIMING RESIDENT BIDDER STATUS (IF APPLICABLE) (AVAILABLE AT THE FOLLOWING LINK)**
<http://finance.ky.gov/business/procurementservices/procurementhowto.htm>

PSC Standard Terms and Conditions

Whereas, the first party, the state agency, has concluded that either state personnel are not available to perform said function, or it would not be feasible to utilize state personnel to perform said function; and

Whereas, the second party, the contractor, is available and qualified to perform such function; and

Whereas, for the abovementioned reasons, the state agency desires to avail itself of the services of the second party;

NOW THEREFORE, the following terms and conditions are applicable to this contract:

Effective Date:

This agreement is not effective until the Secretary of the Finance and Administration Cabinet or his authorized designee has approved the contract and until the contract has been submitted to the Legislative Research Commission, Government Contract Review Committee ("LRC").

Payments on personal service contracts and memoranda of agreement shall not be authorized for services rendered after government contract review committee disapproval, unless the decision of the committee is overridden by the Secretary of the Finance and Administration

Cabinet or agency head, if the agency has been granted delegation authority by the Secretary.

Renewals:

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Upon expiration of the initial term, the contract may be renewed in accordance with the terms and conditions in the original solicitation. Renewal shall be subject to prior

approval from the Secretary of the Finance and Administration Cabinet or his authorized designee and the LRC Government Contract Review Committee in accordance with KRS 45A.695 and KRS 45A.705, and contingent upon available funding.

LRC Policies:

Pursuant to KRS 45A.725, LRC has established policies which govern rates payable for certain professional services. These are located on the LRC webpage (<http://www.lrc.ky.gov/Statcomm/Contracts/homepage.htm>) and would impact any contract established under KRS 45A.690 *et seq.*, where applicable.

Choice of Law and Forum:

All questions as to the execution, validity, interpretation, construction and performance of this agreement shall be governed by the laws of the Commonwealth of Kentucky. Furthermore, the parties hereto agree that any legal action which is brought on the basis of this agreement shall be filed in the Franklin County Circuit Court of the Commonwealth of Kentucky.

Cancellation:

The state agency shall have the right to terminate and cancel this agreement at any time not to exceed thirty (30) days' written notice served on the contractor by registered or certified mail.

Funding Out Provision:

The state agency may terminate this contract if funds are not appropriated to the contracting agency or are not otherwise available for the purpose of making payments without incurring any obligation for payment after the date of termination, regardless of the terms of the contract. The state agency shall provide the contractor thirty (30) calendar days written notice of termination of the contract.

Reduction in Contract Worker Hours

The Kentucky General Assembly may allow for a reduction in contract worker hours in conjunction with a budget balancing measure for some professional and non-professional service contracts. If under such authority the agency is required by Executive Order or otherwise to reduce contract hours, the contract will be reduced by the amount specified in that document.

Authorized to do Business in Kentucky:

The contractor affirms that it is properly authorized under the laws of the Commonwealth of

Kentucky to conduct business in this state and will remain in good standing to do business in the Commonwealth of Kentucky for the duration of any contract awarded.

The Contractor shall maintain certification of authority to conduct business in the

Commonwealth of Kentucky during the term of this Contract. Such registration is obtained from the Secretary of State, who will also provide the certification thereof.

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Invoices for fees:

The contractor shall maintain supporting documents to substantiate invoices and shall furnish same if required by state government.

Pursuant to KRS 45A.695, **no payment shall be made on any personal service contract** unless the individual, firm, partnership, or corporation awarded the personal service contract submits its invoice for payment on a form established by the committee.

***Invoice form is available on the Legislative Research Commission, Government Contract Review Committee website: <http://www.lrc.ky.gov/Statcomm/Contracts/homepage.htm>**

Travel expenses, if authorized:

The contractor shall be paid for no travel expenses unless and except as specifically authorized by the specifications of the contract.

Other expenses, if authorized herein:

The contractor shall be reimbursed for no other expenses of any kind, unless and except as specifically authorized within the specifications of the contract.

If the reimbursement of such expenses is authorized, the reimbursement shall be only on an out-of-pocket basis. Request for payment of same shall be processed upon receipt from the contractor of valid, itemized statements submitted periodically for payment at the time any fees are due. The contractor shall maintain supporting documents that substantiate every claim for expenses and shall furnish same if requested by state government.

Invoicing for fee: the contractor's fee shall be original invoice(s) and shall be documented by the contractor. The invoice(s) must conform to the method described in the specifications of the contract.

Invoicing for travel expenses: the contractor must follow instructions described in the specifications of the contract. Either original or certified copies of receipts must be submitted for airline tickets, motel bills, restaurant charges, rental car charges, and any other miscellaneous expenses.

Invoicing for miscellaneous expenses: the contractor must follow instructions prescribed in the specifications of the contract. Expenses submitted shall be documented by original or certified copies.

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Purchasing and specifications:

The contractor certifies that he will not attempt in any manner to influence any specifications to be restrictive in any way or respect nor will he attempt in any way to influence any purchasing of services, commodities or equipment by the Commonwealth of Kentucky. For the purpose of this paragraph and the following paragraph that pertains to conflict-of interest laws and principles, "he" is construed to mean "they" if more than one person is involved and if a firm, partnership, corporation, or other organization is involved, then "he" is construed to mean any person with an interest therein.

Conflict-of-interest laws and principles:

The contractor certifies that he is legally entitled to enter into this contract with the Commonwealth of Kentucky, and by holding and performing this contract will not be violating either any conflict of interest statute (KRS 45A.330-45A.340, 45A.990, 164.390), or KRS 11A.040 of the executive branch code of ethics, relating to the employment of former public servants.

Campaign finance:

The contractor certifies that neither he/she nor any member of his/her immediate family having an interest of 10% or more in any business entity involved in the performance of this contract, has contributed more than the amount specified in KRS 121.056(2), to the campaign of the gubernatorial candidate elected at the election last preceding the date of this contract. The contractor further swears under the penalty of perjury, as provided by KRS 523.020, that neither he/she nor the company which he/she represents, has knowingly violated any provisions of the campaign finance laws of the Commonwealth, and that the award of a contract to him/her or the

company which he/she represents will not violate any provisions of the campaign finance laws of the Commonwealth.

Certification:

The state agency certifies that it is in compliance with the provisions of KRS 45A.695. "Access to contractor's books, documents, papers, records, or other evidence directly pertinent to the contract." The contractor, as defined in KRS 45A.030(9) agrees that the contracting agency, the Finance and Administration Cabinet, the Auditor of Public Accounts, and the Legislative Research Commission, or their duly authorized representatives, shall have access to any books, documents, papers, records, or other evidence, which are directly pertinent to this contract for the purpose of financial audit or program review. Records and other prequalification information confidentially disclosed as part of the bid process shall not be deemed as directly pertinent to the contract and shall be exempt from disclosure as provided in KRS 61.878(1)(c). The contractor also recognizes that any books, documents, papers, records, or other evidence, received during a financial audit or program review shall be subject to the Kentucky Open Records Act, KRS 61.870 to 61.884

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Protest

Pursuant to KRS 45A.285, The Secretary of the Finance and Administration Cabinet, or his designee, shall have authority to determine protests and other controversies of actual or prospective Vendors in connection with the solicitation or selection for award of a Master Agreement or Contract.

Any actual or prospective Vendor, who is aggrieved in connection with the solicitation or selection for award of a Master Agreement or Contract, may file protest with the Secretary of the Finance and Administration Cabinet. **A protest or notice of other controversy must be filed promptly and in any event within two (2) calendar weeks after such aggrieved person knows or should have known of the facts giving rise thereto. All protests or notices of other controversies must be in writing and shall be addressed to:**

Lori H. Flanery, Secretary

Commonwealth of Kentucky
Finance and Administration Cabinet
Room 383, New Capitol Annex
702 Capitol Avenue
Frankfort, KY 40601
Phone #: (502) 564-4240
Fax #: (502) 564-6785

The Secretary of Finance and Administration Cabinet shall promptly issue a decision in writing. A copy of that decision shall be mailed or otherwise furnished to the aggrieved party and shall state the reasons for the action taken.

The decision by the Secretary of the Finance and Administration Cabinet shall be final and conclusive.

Social security: (check one)

_____ the parties are cognizant that the state is not liable for social security contributions pursuant to 42 U.S. Code, section 418, relative to the compensation of the second party for this contract.

_____ **the parties are cognizant that the state is liable for social security contributions pursuant to 42 U.S. Code, section 418, relative to the compensation of the second party for this contract.**

Violation of tax and employment laws:

KRS 45A.485 requires the contractor to reveal to the Commonwealth, prior to the award of a contract, any final determination of a violation by the contractor within the previous five (5) year period of the provisions of KRS chapters 136, 139, 141, 337, 338, 341, and 342. These statutes relate to the state sales and use tax, corporate and utility tax, income tax, wages and hours laws,

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occupational safety and health laws, unemployment insurance laws, and workers compensation insurance laws, respectively.			

To comply with the provisions of KRS 45A.485, the contractor shall report any such final determination(s) of violation(s) to the Commonwealth by providing the following information

regarding the final determination(s): the KRS violated, the date of the final determination, and the state agency which issued the final determination.

KRS 45A.485 also provides that, for the duration of any contract, the contractor shall be in continuous compliance with the provisions of those statutes which apply to the contractor's operations, and that the contractor's failure to reveal a final determination as described above or failure to comply with the above statutes for the duration of the contract, shall be grounds for the Commonwealth's cancellation of the contract and the contractor's disqualification from eligibility for future state contracts for a period of two (2) years.

Contractor must check one:

_____ The contractor has not violated any of the provisions of the above statutes within the previous five (5) year period.

_____ **the contractor has violated the provisions of one or more of the above statutes within the previous five (5) year period and has revealed such final determination(s) of violation(s). A list of such determination(s) is attached.**

Discrimination:

Discrimination (because of race, religion, color, national origin, sex, age, or disability) prohibited. This section applies only to contracts utilizing federal funds, in whole or in part. During the performance of this contract, the contractor agrees as follows:

1. The contractor will not discriminate against any employee or applicant for employment because of race, religion, color, national origin, sex or age. The contractor further agrees to comply with the provisions of the Americans with Disabilities Act (ADA), Public Law 101-336, and applicable federal regulations relating thereto prohibiting discrimination against otherwise qualified disabled individuals under any program or activity. The contractor agrees to provide, upon request, needed reasonable accommodations. The contractor will take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, religion, color, national origin, sex, age or disability. Such action shall include, but not be limited to the following; employment, upgrading, demotion or transfer; recruitment or recruitment advertising; layoff or termination; rates of pay or other forms of compensations; and selection for training, including apprenticeship. The contractor agrees to post in conspicuous places, available to employees and applicants for employment, notices setting forth the provisions of this non-discrimination clause.

2. The contractor will, in all solicitations or advertisements for employees placed by or on behalf of the contractor, state that all qualified applicants will receive consideration for employment without regard to race, religion, color, national origin, sex, age or disability.

3. The contractor will send to each labor union or representative of workers with which he has a

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collective bargaining agreement or other contract or understanding, a notice advising the said labor union or workers' representative of the contractor's commitments under this section, and			

shall post copies of the notice in conspicuous places available to employees and applicants for employment. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions, including sanctions for noncompliance.

4. The contractor will comply with all provisions of Executive Order No. 11246 of September 24, 1965 as amended, and of the rules, regulations and relevant orders of the Secretary of Labor.

5. The contractor will furnish all information and reports required by Executive Order No. 11246 of September 24, 1965, as amended, and by the rules, regulations and orders of the Secretary of Labor, or pursuant thereto, and will permit access to his books, records and accounts by the administering agency and the Secretary of Labor for purposes of investigation to ascertain compliance with such rules, regulations and orders.

6. In the event of the contractor's noncompliance with the nondiscrimination clauses of this contract or with any of the said rules, regulations or orders, this contract may be cancelled, terminated or suspended in whole or in part and the contractor may be declared ineligible for further government contracts or federally-assisted construction contracts in accordance with procedures authorized in Executive Order No. 11246 of September 24, 1965, as amended, and such other sanctions may be imposed and remedies invoked as provided in or as otherwise provided by law.

7. The contractor will include the provisions of paragraphs (1) through (7) of section 202 of Executive Order 11246 in every subcontract or purchase order unless exempted by rules, regulations or orders of the Secretary of Labor, issued pursuant to section 204 of Executive Order No. 11246 of September 24, 1965, as amended, so that such provisions will be binding upon each subcontractor or vendor. The contractor will take such action with respect to any subcontract or purchase order as the administering agency may direct as a means of enforcing such provisions including sanctions for noncompliance; provided, however, that in the event a contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the agency, the contractor may request the United States to enter into such litigation to protect the interests of the United States.

END OF RFP

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REQUIRED AFFIDAVIT FOR BIDDERS, OFFERORS AND CONTRACTORS

PAGE

1 OF 2

FOR BIDS AND CONTRACTS IN GENERAL:

Each bidder or offeror swears and affirms under penalty of perjury, that:

In accordance with [KRS 45A.110](#) and [KRS 45A.115](#), neither the bidder or offeror as defined in [KRS 45A.070\(6\)](#), nor the entity which he/she represents, has knowingly violated any provisions of the campaign finance laws of the Commonwealth of Kentucky; and the award of a contract to the bidder or offeror or the entity which he/she represents will not violate any provisions of the campaign finance laws of the Commonwealth.

The bidder or offeror swears and affirms under penalty of perjury that, to the extent required by Kentucky law, the entity bidding, and all subcontractors therein, are aware of the requirements and penalties outlined in [KRS 45A.485](#); have properly disclosed all information required by this statute; and will continue to comply with such requirements for the duration of any contract awarded.

The bidder or offeror swears and affirms under penalty of perjury that, to the extent required by Kentucky law, the entity bidding, and its affiliates, are duly registered with the Kentucky Department of Revenue to collect and remit the sales and use tax imposed by [KRS Chapter 139](#), and will remain registered for the duration of any contract awarded.

The bidder or offeror swears and affirms under penalty of perjury that the entity bidding is not delinquent on any state taxes or fees owed to the Commonwealth of Kentucky and will remain in good standing for the duration of any contract awarded.

FOR “NON-BID” CONTRACTS (I.E. SOLE-SOURCE; NOT-PRACTICAL OR FEASIBLE TO BID; OR EMERGENCY CONTRACTS, ETC):

Each contractor further swears and affirms under penalty of perjury, that:

In accordance with [KRS 121.056](#), and if this is a non-bid contract, neither the contractor, nor any member of his/her immediate family having an interest of 10% or more in any business entity involved in the performance of any contract awarded, have contributed more than the amount specified in [KRS 121.150](#) to the campaign of the gubernatorial slate elected in the election last preceding the date of contract award.

In accordance with [KRS 121.330\(1\) and \(2\)](#), and if this is a non-bid contract, neither the contractor, nor officers or employees of the contractor or any entity affiliated with the contractor, nor the spouses of officers or employees of the contractor or any entity affiliated with the contractor, have knowingly contributed more than \$5,000 in aggregate to the campaign of a candidate elected in the election last preceding the date of contract award that has jurisdiction over this contract award.

Solicitation/Contract #: _____

In accordance with [KRS 121.330\(3\) and \(4\)](#), and if this is a non-bid contract, to the best of his/her knowledge, neither the contractor, nor any member of his/her immediate family, his/her employer, or his/her employees, or any entity affiliated with any of these entities or individuals, have directly solicited contributions in excess of \$30,000 in the aggregate for the campaign of a candidate elected in the election last preceding the date of contract award that has jurisdiction over this contract.

As a duly authorized representative for the bidder, offeror, or contractor, I have fully informed myself regarding the accuracy of all statements made in this affidavit, and acknowledge that the Commonwealth is reasonably relying upon these statements, in making a decision for contract award and any failure to accurately disclose such information may result in contract termination, repayment of funds and other available remedies under law.

Signature

Printed Name

Title

Date

Company Name

Address

Subscribed and sworn to before me by

(Affiant)

(Title)

of _____ this ____ day of _____, 20____.
(Company Name)

Notary Public

[seal of notary]

My commission expires: _____

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**COMMONWEALTH OF KENTUCKY
FINANCE AND ADMINISTRATION CABINET
OFFICE OF PROCUREMENT SERVICES**

Solicitation No.: RFP 750 1100000361
For: IT Assessment

Date: July 21, 2011

Addendum No.

BIDDER SHALL CONFORM TO THE FOLLOWING CHANGES AS SAME SHALL BECOME BINDING UPON THE CONTRACT TO BE ISSUED IN RESPONSE TO THIS SOLICITATION.

Reason for change: To add questions that was over looked.

End of Addendum

Sharon Purvis
Commonwealth Buyer

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Answers to be posted by July 18
RFP No. 750 1100000361

Page 5-5. The question requires the responder to identify and recommend the best IT governance structure. Is the Commonwealth open to discuss COBIT or ITIL governance structures?

The Commonwealth holds no pre-set disposition on what governance structure is appropriate.

Page 6-5. In addressing funding models, will the responder have full disclosure and access to the Commonwealth's budget for the past three years and any proposed budget for next year?

The approved budget of the Commonwealth of Kentucky is posted at <http://OSBD.KY.GOV>

Page 6-5. Regarding the issue of service catalogs and service level agreements, is the Commonwealth expecting the responder to facilitate the development of a service catalog or provide a service catalog based upon needs of the organization?

The Commonwealth expects the responder to provide detailed recommendations on the appropriate service level definitions that should be in place, including guiding catalogues, SLA's, OLA's, etc.

Page 6-5. Regarding the issue of service catalogs and service level agreements, is the Commonwealth expecting the responder to develop negotiated service level agreements for each service identified in the catalog or facilitate such a practice?

No

Page 7-5. Regarding the issue of service catalogs and service level agreements, is the Commonwealth expecting the responder to provide quantitative and qualitative measures or to recommend implementation of those quantitative and qualitative measures? For example, in the evaluation of potential metrics used to measure the success or failure of the service level agreement, is the Commonwealth expecting the responder to only provide the description of the metric or to provide information on how the metric should be obtained?

The Commonwealth will expect the responder to recommend appropriate metrics, describe the metrics in detail and provide a methodology for gathering the information necessary to feed the metric.

If responder is selected for this project, does that preclude the responder from performing the recommended implementation work?

A vendor selected for this assessment would not be precluded from future Bids or RFPs for implementation work.

Does the Commonwealth have a preference as to the assessment tool or tools to be used for this project?

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The Commonwealth holds no pre-set disposition related to the assessment tool or tools.

Can tools or agents be installed on computer equipment to assist in gathering data?

Any tool or agent would have to be approved by the Commonwealth's Security Office.

Can the Commonwealth provide a current breakdown of the IT expenses for its agencies?

At this time, the Commonwealth has only been able to develop estimated expenditure totals by agency and, by extension, for the Executive Branch as a whole. Addressing the question posed here is one of the objectives of the RFP.

Regarding the service catalog, can the Commonwealth provide the extent to which this is to be defined?

The Commonwealth expects the responder to provide detailed recommendations on the appropriate service level definitions that should be in place, including guiding catalogues, SLA's, OLA's, etc.

What is the timeline for this project?

The Commonwealth expects this project to be completed in a 3-5 month time period

Can the Commonwealth provide a list of the executive branch agencies that will be included in this assessment?

<http://kentucky.gov/government/Pages/branches.aspx>

As RFP requires the vendor to specify the cost on fully burdened basis, can you please elaborate on the overall IT environment which currently exists throughout the commonwealth of Kentucky?

The intent of the Commonwealth in using the term "fully burdened" is to ensure the Responder understands that all IT-related costs are to be included in the total spending number. The total cost must include both direct and indirect cost.

Can you please share the organizational structure of the IT Department including the strength of the existing IT Staff?

Various Executive Branch agencies have their own IT Departments staffed with IT management, IT technicians as well as administrative staff with varying titles both inside and outside of the Personnel Cabinet IT titled category. Additionally, these agencies have their own IT infrastructure environments.

The "strength" of the existing IT staff should be addressed by the Responder.

Is the IT department located centrally or distributed across the commonwealth of Kentucky?

IT management and administration of IT is distributed across various Cabinets and Agencies of the Executive Branch of the Commonwealth.

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The exact number is not known.

What are the approximate the number of IT equipments?

The exact number is not known.

Can you please share the list of IT Services provided by IT department to their users/Business Divisions?

Related to question #14 the IT environment is managed and administered in a distributed manner. The services provided by each area are unknown.

Can you please specify the type of Service Catalog you want (Technical Service Catalog or Business Service Catalog or both)?

Both

Is Service Catalog required for all the Services provided by the IT department?

Yes

What type of SLA are you looking for (Service Based/Customer Based/Corporate Based)?

Service and customer based.

How many Business Divisions are there in the Commonwealth of KY?

See question #12

Are all users and Business Divisions located centrally or distributed over different locations?

Please see response to question #14

Can you please describe the existing organizational structure of the Commonwealth of Kentucky?

Please see response to question #12

Is there any funding model followed by other business divisions of the commonwealth or is it a new initiative?

The Commonwealth Office of Technology (COT) is a zero-based budget organization and does not receive any General Fund appropriation. As such, COT recovers the cost of providing IT services via a charge-back model to customers in the form of a rated services cost per IT unit consumed or an assessment fee based on a pre-selected unit of measure. Conversely, agency-based IT organizations are funded by a General Fund appropriation. The Commonwealth holds no pre-set disposition related to any new funding model(s) proposals.

Do you use any Corporate Governance standard in Commonwealth of Kentucky?

Establishing an appropriate Governance structure is one of the goals of this assessment.

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Can you please elaborate on what exactly do you mean by "Identify the best practices and processes to determine total cost of Ownership (TCO) and return of investment (ROI) for any proposed IT investments or projects". Is the commonwealth intending to finalize a set of templates?

The Commonwealth desires to have a standardized set of templates to use to apply to all IT service providers. It is hoped that a standard set of templates will ensure that all parties develop their cost models via prescribed processes, practices and/or methodology using standardized spreadsheet-based templates. The goal is to ensure TCO and ROI models are consistent and provide reproducible, valid comparisons.

Will the Commonwealth extend the submission deadline by two weeks to Wednesday, August 10, 2011?

No

RFP Page 4 (I. Description of Services Required) – There is reference to a “Comprehensive Financial Template”. Can you elaborate on the intended format?

See question #27

RFP Page 7 (Service Catalog and SLA/OLA)- Can you elaborate on the reference in the middle of page 7 to “Identify processes or indicators”... in regard to ROI and TCO? Are you looking for an approach/methodology for TCO and ROI analysis only or does the RFP include performing the actual ROI/TCO analysis.

See question #27

To clarify, Will this be a 2-year contract with an optional 2-year extension?

This will be a single engagement. While the length of time is undecided, COT does not anticipate an engagement longer than 5 months.

It is presumed The Commonwealth’s Office of Technology has completed Enterprise-Wide assessments in the past. To verify, Is there an internal assessment done annually or every few years, or is this a new approach by the Commonwealth of KY?

The Commonwealth engages in periodic assessments to help determine if it is on track in utilizing IT industry best-practices related to the technology itself as well as security, financials, customer services and etc., in the IT areas.

Is the Commonwealth trying to verify existing budget data available from a COKY Central Accounting System or starting from scratch with no real idea of total IT costs?

The Commonwealth is attempting to establish a standardized methodology for determining the total spending on IT within the Executive Branch

It seems that The Commonwealth of KY has a list of products and services already defined with rates. Does COKY have a master services catalog for procurement for these outside services?

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The Commonwealth does not clearly understand the question

Is the Commonwealth requesting TCO and ROI from the vendor as a deliverable for proposed/recommended changes, or just a process in which to use for Commonwealth of KY considered investments in the future?

See question #27

COT does have authority to create standards. However Does COT currently operate under specific methodologies per adoption of PMO's?

Please see the links below for more information.

<http://technology.ky.gov/oet/Pages/default.aspx>

<http://technology.ky.gov/governance/Pages/architecture.aspx>

<http://technology.ky.gov/governance/Pages/OverviewofenterpriseITPolicyStandards.aspx>

We have located flyers and materials marketing COT's current initiative to "simply IT across COKY". Is this IT assessment RFP a part of this effort or a totally separate undertaking?

This is a separate undertaking

What is the budget for this work?

The budget will be determined after review of the responses.

Can the Commonwealth provide what is the budgeted for this project?

See question #38

Does the Commonwealth have a desired timeframe for completing this assessment? Is there a specific date the Commonwealth requires this assessment be completed by?

See questions #11 and #31

Is it valid to assume all in-scope Cabinet/Agency assessments can/will be performed concurrently? If not, can the Commonwealth provide information with respect to the sequencing of Cabinet/Agency assessments?

Yes, all in-scope Cabinet /Agency assessments can/will be performed concurrently.

Can the Commonwealth provide the number of discrete Cabinet/Agency IT organizations/functional-areas to be assessed within the in-scope Executive Branch Cabinet/Agencies?

See question #12

With regard to the Service Catalog and SLA/OLA deliverable, is this solely for enterprise IT services delivered by the Commonwealth Office of Technology, or does this also relate to IT

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	services delivered by other Cabinet/Agency IT staff?		

The Service Catalog and SLA/OLA should address IT services needed by all Executive Branch Cabinets and Agencies.

Can the Commonwealth please provide an explanation of how the statements/requirements in Section I – DESCRIPTION OF SERVICES REQUIRED align/correlate with the Deliverables listed in Section II.5? Specifically, which Deliverables should include/address the following statements/requirements in Section I:

“... identification of services being provided in a successful manner...”

“...recommended performance improvements which will increase the value of IT for the enterprise as a whole in terms of adequacy, efficiency and effectiveness.”

The Commonwealth expects the respondent, as part of revealing “best and acceptable practices in a state government environment”, to review the current Enterprise-wide IT offerings within Kentucky state government. This would include comparing the current rates to the prevailing rates in other states, for similar services, as well as qualitative measure applicable to each. This comparison should assist the Commonwealth in determining how we rate (or how “successful” we are) in currently providing Enterprise offerings.

Will the Finance Cabinet provide a project leader and support staff to facilitate availability of, access to, and scheduling of in-scope Cabinet/Agency personnel needed to successfully execute this project?

Yes, a project manager/leader will be provided.

Can the Commonwealth provide information regarding the number and target audiences that will receive briefings on the results/final outputs from this project (e.g., are individual briefings required for each in-scope Cabinet/Agency)?

The Commonwealth envisions a single Executive briefing with Executive Management representatives invited from all in-scope Cabinets/Agencies, all Governance Council Members invited and various levels of Finance Cabinet and COT staff invited. Additionally, the Commonwealth expects 6 hard copy prints and electronic copies of all assessment findings, recommendations and any other related materials.